

**WIA Youth Participant Record Review Guide – Case Documentation  
Program Year 2005**

Participant Name \_\_\_\_\_ PIN \_\_\_\_\_

WIA Service Provider \_\_\_\_\_

DWS Staff Reviewer \_\_\_\_\_

**1. YOUTH CHARACTERISTICS AND ELIGIBILITY:**

☐ **Younger Youth** (age at registration is 14-18)

☐ **Older Youth** (age at registration is 19-21)

☐ Low Income Youth

☐ In school youth

☐ Out of school youth

☐ Non Low Income (5% window)

☐ In school youth

☐ Out of school youth

☐ Youth With Barrier

☐ Basic Skills Deficient

☐ Dropout

☐ Homeless/Runaway/Foster Child

☐ Pregnant/Parenting

☐ Offender

☐ An individual who requires additional assistance as defined locally as the 6<sup>th</sup> eligibility criterion

**Family size:** \_\_\_\_\_

Documentation used: \_\_\_\_\_

Is the documentation acceptable? Yes \_\_\_\_\_ No \_\_\_\_\_

**Economic Eligibility Criteria Used:** \_\_\_\_\_

Documentation used: \_\_\_\_\_

Is the documentation acceptable? Yes \_\_\_\_\_ No \_\_\_\_\_

**Barrier(s):** \_\_\_\_\_

Documentation used: \_\_\_\_\_

Is the documentation acceptable? Yes \_\_\_\_\_ No \_\_\_\_\_

**General Eligibility:**

Age 14-21: ☐ yes ☐ no

Eligible to Work in US ☐ yes ☐ no

Selective Service ☐ yes ☐ no ☐ N/A

Documentation used: \_\_\_\_\_

Is the documentation acceptable? Yes \_\_\_\_\_ No \_\_\_\_\_

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2. **Required Case Documents** – Indicate which of the following documents are present in the case file:

	Y	N
a. WIA Registration Form or Local Application Form - signed and dated by participant and includes a self attestation statement.		
b. Participant Rights/Complaints Form – evidence that the participant has been provided with a copy of their rights and process for filing a complaint.		
c. Release of Information Form is signed, clearly indicates what information may be released, to whom, and includes effective dates.		
d. Case notes are comprehensive, up-to-date, and include both WIA and non-WIA referrals/resources.		
e. Non-traditional occupation (NTO) – File contains evidence that participant received information or materials orienting them to NTO.		
f. PELL/Other Financial Aid – If the youth attended a training program which offers PELL or financial assistance, is there evidence in the file that the youth applied for it?		

Comments: \_\_\_\_\_

\_\_\_\_\_

3. **Individual Service Strategy** – Does the participant's file contain an ISS?

Yes \_\_\_\_\_ No \_\_\_\_\_

<b>Determine whether the ISS includes the following required elements:</b>	Y	N
a. Identifies appropriate services taking into account the youth's objective assessment.		
b. An ISS has been jointly developed, agreed to, and signed and dated by the case manager and the youth participant.		
c. Identifies an employment/career goal.		
d. Identifies appropriate achievement objectives.		
e. Identifies a plan for year round services.		
f. Includes non-WIA funded services (if any) that are part of the strategy to address needs and achieve goals.		
g. Includes skill attainment goals (required for younger youth and recommended for older youth).		
h. There is evidence that the ISS is periodically reviewed and updated to reflect the goals that have been achieved and the new goals being set.		

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Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## 4. Younger Youth Skill Attainments

	Y	N
a. Is at least one skill attainment goal set per year?		
b. Are goals measurable and clearly defined (what participant must do to reach goal, when and how success will be determined, how goal will be measured)?		
c. Is there a clear correlation between assessment results, ISS development, and goal setting?		
d. Are planned attainment dates set for less than one year in length?		
e. Does the case file contain acceptable documentation verifying each goal as required by annual data validation? (type of goal, date that goal was set, attainment status, and attainment date).		

Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

5. **Exited Participants** - Has this participant been exited from the WIA program?  
 Yes\_\_\_\_ No \_\_\_\_

***The remainder of this guide needs to be completed only for exited participants.***

6. **Follow-Up Services** – Is there documentation that the exited participant has been receiving follow-up services for at least 12 months following exit?  
 Yes\_\_\_\_ No \_\_\_\_

If yes, describe follow-up services provided: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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## 7. Reason for Exit

	Y	N
a. Was this participant exited under one of the universal exclusions (Manage Program Exits screen in ASSET)?		
• Incarcerated/ Institutionalized		
• Health/ Medical reasons of the participant		
• Deceased		
• Military Reservist Called to Active Duty		
• Family Care ( <i>only allowed for exits occurring on April 1, 2004 or after</i> )		
• Relocated to Mandated Residential Program ( <i>only allowed for exits occurring on April 1, 2004 or after</i> )		
b. Is there appropriate documentation in the file to support the exclusion?		

Comments/ list type of documentation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## 8. Younger Youth Retention

	Y	N
a. Was the younger youth in secondary school at the time of exit (Manage Program Exits screen in ASSET)?		
b. If no above, did the youth meet any of the following criteria in the third quarter after exit (Manage Follow-up, Follow-up Status screen in ASSET)?		
• In post-secondary education		
• Advanced training		
• Employed		
• Military Service		
• Qualified apprenticeship		
• None of the above		
c. Is there appropriate documentation in the file to support the retention status?		

Comments/ list type of documentation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**9. Younger Youth Diploma or Equivalent**

	Y	N
a. Is a high school diploma or equivalent reported in ASSET (Manage Follow-ups, Follow-up Credential screen)?		
b. Is there evidence of the high school diploma, GED, or HSED in the file (school record, diploma, GED, test results, notice from school)?		
c. Is there a date on the diploma or equivalent AND is it the same date entered in ASSET, Follow-up Credential screen?		
d. Was the diploma or equivalent attained after program registration, but before the first quarter after exit?		

**10. Older Youth Credential Attainment**

	Y	N
a. Is a credential reported in ASSET (Manage Follow-ups, Follow-up Credential screen)?		
b. Is there evidence in the file that the participant received a credential?		
c. Was the credential attained after program registration, but before the third quarter after exit?		

**11. Common Measures – Apply to older and younger youth exiting on July 1, 2005 or after. These questions allow the reviewer to see if the local area is correctly entering data in ASSET as required by the new youth common measures.**

	Y	N
a. Placement in Employment and Education – Has the case manager entered the youth's placement or supplemental employment data in the ASSET Manage Follow-Ups, first quarter tab? Measure includes participants who are: <ul style="list-style-type: none"> <li>not in post-secondary education, employment or the military at the date of participation; or</li> <li>in secondary school at exit.</li> </ul>		
b. Attainment of a Degree or Certificate – Has the case manager entered a diploma, GED, or certificate in the ASSET Manage Follow-Ups, in either the first, second, or third quarter tabs after exit? Measure includes participants who are: <ul style="list-style-type: none"> <li>enrolled in education, either at the day of participation or any point during program participation; or</li> <li>in secondary school at exit.</li> </ul>		
c. Literacy and Numeracy Gain: - Has the case manager entered the pre and post test scores in ASSET? Measure only applies to participants who are: <ul style="list-style-type: none"> <li>out of school and basic skills deficient; or</li> <li>out of school, basic skills deficient who exit the program before they have completed a year in the program; or</li> <li>out of school, basic skills deficient youth who have completed (from the date of participation in the program).</li> </ul>		

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12. **Summarize any issues with this file.**